

# 2012 OHRP SOUTH ATLANTIC NATIONAL CONFERENCE

Community Engaged Research:  
Partnerships with Schools

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# EXEMPTION IN SCHOOL-BASED RESEARCH

1. Research in established or commonly accepted educational settings, involving normal educational practices
  - Regular and special education instructional strategies
  - Effectiveness or comparison among instructional techniques, curricula, or classroom management methods
2. Research using educational tests (unless it would be harmful if identifiable information were disclosed)

## EXEMPT STUDIES, CONTINUED

3. Observation of public behavior in which the researchers do not participate in the activities being observed
4. Research involving the collection or study of existing data or record (if the data are publicly available, or are recorded without identifiers)
5. Some food and taste studies

# WHEN RESEARCH INVOLVES SURVEYS OR INTERVIEWS OF CHILDREN

- ◉ The Exemption is not applicable
- ◉ Parents have the right to review certain surveys and instructional materials, and approve their child's participation in research

# PROTECTION OF PUPIL RIGHTS AMENDMENT (PPRA)

- ◉ Model Notification of Rights Under the Protection of Pupil Rights Amendment
- ◉ PPRA affords parents certain rights regarding the conduct of surveys, collection and use of information for marketing purposes, and certain physical exams.

# THESE INCLUDE THE RIGHT TO:

- ◉ Consent before students are **required** to submit to a survey that concerns one or more of the following protected areas ("protected information survey") if the survey is funded in whole or in part by a program of the U.S. Department of Education

# PROTECTED INFORMATION

- Political affiliations or beliefs of the student or student's parent;
- Mental or psychological problems of the student or student's family;
- Sex behavior or attitudes;
- Illegal, anti-social, self-incriminating, or demeaning behavior;
- Critical appraisals of others with whom respondents have close family relationships;
- Legally recognized privileged relationships, such as with lawyers, doctors, or ministers;
- Religious practices, affiliations, or beliefs of the student or parents; or
- Income, other than as required by law to determine program eligibility.



# PARENTS ARE NOTIFIED AND MAY OPT STUDENT OUT OF

- Any other protected information survey, regardless of funding;
- Any non-emergency, invasive physical exam or screening required as a condition of attendance, administered by the school or its agent, and not necessary to protect the immediate health and safety of a student, except for hearing, vision, or scoliosis screenings, or any physical exam or screening permitted or required under State law; and
- Activities involving collection, disclosure, or use of personal information obtained from students for marketing or to sell or otherwise distribute the information to others.

# INSPECT, UPON REQUEST AND BEFORE ADMINISTRATION OR USE

- ◉ Protected information surveys of students not funded by US Dept of Ed, but administered by institutions receiving Ed funding
- ◉ Instruments used to collect personal information from students for marketing, sales, or other distribution purposes; and
- ◉ Instructional material used as part of the educational curriculum.

- ◉ These rights transfer to from the parents to a student who is 18 years old or an emancipated minor under State law.

## ZITS/ by Jerry Scott & Jim Borgman



# IF WRITTEN PARENTAL PERMISSION IS NOT REQUIRED

- ◉ The school district may allow researchers to use an “opt out” approach to parental consent
- ◉ However, “passive consent” is not the same as informed consent/parental permission
- ◉ The IRB may approve a waiver of some or all elements of parental permission

# WAIVING ELEMENTS OF INFORMED CONSENT

- ◉ No more than minimal risk
- ◉ Waiver or alteration will not adversely affect rights/welfare of subjects
- ◉ The research is impracticable without the waiver/alternative (effect on sample generalizability)
- ◉ When appropriate, additional pertinent information will be provided following participation

# METHODOLOGY USED TO OBTAIN CONSENT

- ◉ Student-delivered method
- ◉ Postal
- ◉ Sent attached to reports cards requiring parental signature
- ◉ Rates have varied between and within schools
- ◉ Esbensen et al (2008) cited targeted rate of 70% - 80% to recommended to reduce probability of selection bias and studied practices to increase parental permission

# MULTISITE EVALUATION OF GANG RESISTANCE ED & TRAINING PROG

- Financial compensation to teachers (when allowed by schools) \$2 to teachers for each form collected (regardless of whether permission granted or denied)
- Bonuses \$10 if 70% or more returned  
\$20 if 80% or more returned  
\$30 if 90% or more returned  
small portable FM radio with headphones



# HIGH COST, BUT QUICK COMPLETION

- ◉ Direct cost of teacher incentives \$27,144 (\$3,878 per city, \$936 per school, \$146 per classroom, \$7.39 per active consent participant)
- ◉ In most schools consent process completed in less than 2 weeks, and in several instances in 3 days

# RETURN AND CONSENT RATES

- ◉ 90% overall return rate
- ◉ 79% active consent
- ◉ 11% active refusal
- ◉ 10% of students failed to return forms
- ◉ Diversity in school-level rate from 60%-90% with high risk (Title I schools, high student-teacher ratios, or high rates of students eligible for free and reduced lunch) had lower returns

# RECOMMENDATIONS

- ◉ Administrator buy-in (link to overall school return rates)
- ◉ Work with teachers to develop innovative incentives and methods to increase response rates
- ◉ This does take extensive resources of time and money

# WAKE COUNTY PUBLIC SCHOOL SYSTEM GUIDELINES

[http://www.wcpss.net/evaluation-research/external\\_research/](http://www.wcpss.net/evaluation-research/external_research/)

Types of project most likely approved

- ◉ Const (in student/staff time) are low and benefits to WCPSS seem high (in terms of potential insights and impact on practice
- ◉ Address critical research needs of the school system
- ◉ Competitive, grant-funded projects with dedicated staff

## WCPSS LIKELY TO APPROVE, CONT.

- ◉ Sound research designs which directly address the questions posed
- ◉ Conducted by WCPSS employees as part of requirements for advanced degree or certification (if the research is sound)

# WCPSS NOT LIKELY TO APPROVE

- ◉ Action research in which a teacher studies his/her own students
- ◉ Generally, incentives for participation are not allowed
- ◉ Data collection for a class project (other than observations or archival records)
- ◉ Require large amount of teacher/student time or loss on instructional time
- ◉ Projects requiring data collection between April 15 and July 30

# WCPSS NOT LIKELY TO APPROVE CONT.

- ◉ Data collection requesting personal information about students or their families
- ◉ Applications indicating passive rather than active consent by parents
- ◉ Any form of biomedical or neurological investigation (whether invasive or not)
- ◉ Research involving physical or physiological measurement

# WCPSS VALUES RESEARCH TO IMPROVE EDUCATIONAL OUTCOMES

- They note that the number of research projects proposed to WCPSS is larger than the district can accommodate without unduly disrupting instruction
- They also list possible research projects that would be helpful to WCPSS for those who don't yet have a research topic, or who want a higher priority for approval of a research project



# RESOURCES

- Esbensen, F., Melde, C., Taylor, T. J., & Peterson, D. (2008). Active parental consent in school-based research: How much is enough and how do we get it? *Evaluation Review*, 32, 335-362.
- Hicks, L. (2006). Research in public schools. In E. A. Bankert & R. J. Amdur (Eds.), *Institutional Review Board: Management and Function*, 2<sup>nd</sup> Ed. (pp. 341-345).
- Pritchard, I. A. & Koski, G. (2004). Students as research subjects. *Encyclopedia of Bioethics*, 3<sup>rd</sup> Ed., 2469-2475.

<http://www.ed.gov/policy/gen/guid/fpc/index.html>